



George Austin &lt;gaustin07@berkeley.edu&gt;

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**SEC Response - File [REDACTED]**


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[REDACTED]@sec.gov&gt; [REDACTED]@sec.gov&gt;

To: "gaustin07@berkeley.edu" &lt;gaustin07@berkeley.edu&gt;

Dear Mr. Austin:

Thank you for contacting the U.S. Securities and Exchange Commission (SEC) and for your interest in the Dodd-Frank whistleblower program.

Under the relevant rules, available at <http://www.sec.gov/about/offices/owb/reg-21f.pdf#nameddest=21F-2>, a whistleblower is a person who, on a Form WB-TCR, voluntarily provides the SEC with original information about a possible violation of the federal securities laws that has occurred, is ongoing, or is about to occur. The information provided must lead to a successful SEC action resulting in an order of monetary sanctions exceeding \$1 million. The SEC's Office of the Whistleblower administers the whistleblower program. Your whistleblower complaint has been referred to that office. If you have any questions about your whistleblower complaint or your status as a whistleblower, please contact Jack McCreery, Senior Counsel, Office of the Whistleblower, at [REDACTED], or visit [www.sec.gov/whistleblower](http://www.sec.gov/whistleblower).

Our office, the Office of Investor Education and Advocacy (OIEA), regularly assists investors with problems they encounter with an investment, an investment account, or a financial professional. To try to resolve such problems, we often contact the firm involved with the investment. If you would like us to contact the firm you are dealing with to obtain its written response to your concerns, we would need to provide the firm with your complaint, including your name. Since you have submitted a whistleblower complaint, however, we would be unable to contact the firm unless you provide us with your written consent to do so. As you may know, the SEC has a statutory obligation not to disclose the identity of a whistleblower, except in very limited circumstances not applicable here.

If you would like us to contact the firm on your behalf, please return this letter with the attached consent to disclose your identity. You may print the letter, sign the consent form, and scan it to me by email at [REDACTED]@sec.gov; fax it to [REDACTED]; or mail it to the U.S. Securities and Exchange Commission, Office of Investor Education and Advocacy (Attn: Lisa Skrzycki), 100 F Street, N.E., Washington, D.C. 20549. If you do not wish us to contact the firm, or if we otherwise do not receive your written consent within 30 days, OIEA will be unable to take further action.

If you have any questions about the SEC's investor assistance program, please review our online brochure "How the SEC Handles Your Complaint" (<http://www.sec.gov/investor>, [REDACTED]) or contact OIEA at [REDACTED].

Sincerely,

Lisa Skrzycki  
Attorney  
Office of Investor Education and Advocacy  
U.S. Securities and Exchange Commission  
[REDACTED]

[www.sec.gov](http://www.sec.gov)

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Whistleblower Identity Disclosure Consent Form - HO::~01044303~::HO

I \_\_\_\_\_, consent to allow the U.S. Securities and Exchange Commission's Office of Investor Education and Advocacy to contact Charles Schwab & Co. on my behalf concerning the issue(s) raised in my complaint [REDACTED] and to disclose my identity when doing so.

Sincerely,

\_\_\_\_\_  
Date:

IRIS Case Number: [REDACTED]

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